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JC955 U.S. PTO

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LIMBACH & LIMBACH L.L.P.  
2001 Ferry Building, San Francisco, CA 94111  
415/433-4150

JC917 U.S. PTO  
09/705035 A  
11/02/00

Address to:

Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231

Attorney's Docket No. SONY-U0380

First Named Inventor HARUO OBA

UTILITY PATENT APPLICATION TRANSMITTAL  
( under 37 CFR 1.53(b) )

SIR:

Transmitted herewith for filing is the patent application entitled:  
PORTABLE AUDIO LISTENING APPARATUS

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this New Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date November 2, 2000, in an envelope bearing "Express Mail Post Office To Addressee" Mailing Label Number EL254113690US addressed to: Box Patent Application, Commissioner for Patents, Washington, D.C. 20231.

Lana Brenner

(Name of person mailing paper)

[Signature]  
(Signature)

Enclosed are:

1. ☒ Transmittal Form (two copies required)
2. The papers required for filing date under CFR § 1.53(b):
  - i. 20 Pages of specification (including claims and abstract);
  - ii. 7 Sheets of drawings.  
☐ formal ☒ informal
3. Declaration or oath
  - a. ☒ Unsigned - Combined with Power of Attorney

ACCOMPANYING APPLICATION PARTS

4. ☐ An assignment of the invention to Sony Corporation is attached (including Form PTO-1595).
  - i. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
5. ☒ Power of Attorney - Unsigned - Combined with Declaration
6. ☐ An Information Disclosure Statement (IDS) is enclosed, including a PTO-1449 and copies of ☐ references.
7. ☐ Preliminary Amendment.
8. ☒ Return Receipt Postcard (MPEP 503 -- should be specifically itemized)
9. FOREIGN PRIORITY
  - [x] Priority of application no. P11-320629 filed on November 11, 1999 in Japan is claimed under 35 USC 119.

The certified copy of the priority application:

- ☒ is filed herewith; or  
☐ has been filed in prior application no. ☐ filed on ☐, or  
☐ will be provided.

☐ English Translation Document (if applicable)

10. FEE CALCULATION

- a. ☐ Amendment changing number of claims or deleting multiple dependencies is enclosed.

CLAIMS AS FILED

|                                       | Number Filed | Number Extra | Rate      | Basic Fee (\$710) |
|---------------------------------------|--------------|--------------|-----------|-------------------|
| Total Claims                          | 15 - 20      | * 0          | x \$18.00 | 0                 |
| Independent Claims                    | 4 - 3        | * 1          | x \$80.00 | 80.00             |
| x Multiple dependent claim(s), if any |              |              | \$270.00  | 270.00            |

\*If less than zero, enter "0".

Filing Fee Calculation . . . . . \$1,060.00

50% Filing Fee Reduction (if applicable) . . . . . \$

11. Small Entity Status

- a. ☐ A small entity statement is enclosed.  
b. ☐ A small entity statement was filed in the prior nonprovisional application and such status is still proper and desired.  
c. ☐ is no longer claimed.

12. Other Fees

- ☐ Recording Assignment [\$40.00] . . . . . \$0  
☐ Other fees  
Specify \_\_\_\_\_ \$0

Total Fees Enclosed . . . . . \$1,060.00

13. Payment of Fees

- x Check(s) in the amount of \$ 1,060.00 enclosed.  
☐ Charge Account No. 12-1420 in the amount of \$ \_\_\_\_.  
A duplicate of this transmittal is attached.

14. All correspondence regarding this application should be forwarded to the undersigned attorney:

Charles P. Sammut  
Limbach & Limbach L.L.P.  
2001 Ferry Building  
San Francisco, CA 94111  
Telephone: 415/433-4150  
Facsimile: 415/433-8716



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PATENT TRADEMARK OFFICE

15. Authorization to Charge Additional Fees

- X The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Account No. 12-1420. A duplicate of this transmittal is attached.

LIMBACH & LIMBACH L.L.P.

November 2, 2000  
(Date)

Attorney Docket No. SONY-U0380  
[S00P1380US00]

By:   
Charles P. Sammut  
Registration No. 28,901  
Attorney(s) or Agent(s) for Applicant(s)

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